

EV077327446

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PTO-SB-21 CA-001

Approved for use through 10-31-2002 OMB 351-2031  
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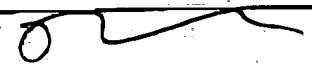
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<b>TRANSMITTAL FORM</b>  <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/834,660	
	Filing Date	April 12, 2001	
	First Named Inventor	Luan C. Tran	
	Group Art Unit	2813	
	Examiner Name	L. Schillinger	
Total Number of Pages in This Submission	26	Attorney Docket Number	MI22-1637

**ENCLOSURES** (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Supplemental Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Postcard Previously submitted 1449 not yet initialed 1449 & cited reference
Remarks The Commissioner is hereby authorized to charge any additional fees required under 37 CFR Sections 1.16 and 1.17 and credit any overpayments to: 23-0925.		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Frederick M. Fliegel, Ph.D. Wells St. John P.S.	Reg. No. 36,138
Signature		
Date	Apr. 30, 2002	

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 PTO/SB/21 (6-98)  
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<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	09/834,660
	Filing Date	April 12, 2001
	First Named Inventor	Luan C. Tran
	Group Art Unit	2813
	Examiner Name	L. Schillinger
Total Number of Pages in This Submission	Attorney Docket Number MI22-1637	

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ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 5px;">         Petition for Revival of an Application (37 C.F.R. § 1.137(a))          Petition to Withdraw Holding of Abandonment 37 C.F.R. § 1.181       </div>
Remarks Petition to Revive (37 C.F.R. § 1.137(b)) Statement Attesting to Mailing		
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm or Individual name	James D. Shaurette, Reg. No. 39,833 Wells St. John, P.S.	
Signature		
Date	1/15/03	

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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: _____			
Typed or printed name	Via Facsimile		
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Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**FEE TRANSMITTAL  
for FY 2002**

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$180.00)

## Complete if Known

Application Number 09/834,660

Filing Date April 12, 2001

First Named Inventor Duan C. Tran

Examiner Name L. Schillinger

Group Art Unit 2815

Attorney Docket No. MI22-1637

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## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account.

Deposit Account Number 23-0925

Deposit Account Name Wells, St. John et al.

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$0)

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims 20 - 32 = 0 x 0 = 0  
 Independent Claims 4 - 6 = 0 x 0 = 0  
 Multiple Dependent = 0

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$0)

\*\*or number previously paid, if greater. For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 820	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Siml	180
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$180.00)

## SUBMITTED BY

Name (Print/Type) Frederick M. Fliegel, Ph.D.

Registration No. 36,138

## Complete (if applicable)

Telephone 509-624-4276

Signature

Date

Apr 30, 2002

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Serial No. .... 09/834,660  
Filing Date .... April 12, 2001  
Inventor ..... Luan C. Tran  
Assignee ..... Micron Technology, Inc.  
Group Art Unit ..... 2813  
Examiner ..... Laura Schillinger  
Attorney's Docket No. .... MI22-1637  
Title: Semiconductor Processing Methods Of Forming Transistors, Semiconductor  
Processing Methods Of Forming Dynamic Random Access Memory Circuitry, and  
Related Integrated Circuitry

John Gillon  
Office of Petitions  
Assistant Commissioner for Patents  
Washington, D.C. 20231

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**CERTIFICATE OF FACSIMILE TRANSMISSION UNDER 37 CFR 1.8**

I hereby certify that the following papers are being facsimile transmitted to the  
Patent and Trademark Office at (703) 308-6916 on the date shown below:

The following documents are enclosed:

1. Transmittal Form (PTO/SB/21)
2. Petition for Revival under 37 C.F.R. 1.137(b) (PTO/SB/64)
3. Petition for Revival under 37 C.F.R. 1.137(a) (PTO/SB/61)
4. Petition under 37 C.F.R. 1.181
5. Copy of Response to 1/30/2002 Office Action filed 4/30/2002 (including Ex-  
Post Declaration, PTO Stamped Return Receipt Postcard, and Check No.  
13486) and Canceled Check No. 134863
6. Statement Attesting to Express Mailing of P.T.O. Correspondence Under 37  
C.F.R. 10
7. Certificate of Transmission under 37 C.F.R. §1.8 (PTO/SB/97)

Dated: 1/15/2003By: 

Natalie King

Telephone No. (509) 624-4276

Facsimile No. (509) 838-3424

NUMBER OF PAGES IN FACSIMILE: 42

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Practitioner's Docket No. MI22-1637

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Tran, Luan C.

Application No.: 09/834,660

Group No.: 2813

Filed: 04/12/2001

Examiner: Laura Schillinger

For: Semiconductor Processing Methods Of Forming Transistors, Semiconductor Processing Methods Of Forming Dynamic Random Access Memory Circuitry, and Related Integrated Circuitry

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Assistant Commissioner for Patents  
Washington, D.C. 20231

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STATEMENT ATTESTING TO MAILING OF P.T.O. CORRESPONDENCE  
UNDER 37 C.F.R. section 10

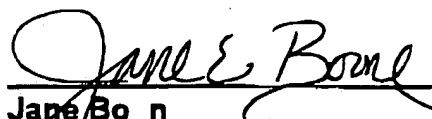
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I state that on April 30, 2002, I mailed the original Response to 1/30/2002 Office Action, including the below-listed papers by express mail, in an envelope addressed to the "Assistant Commissioner for Patents, Washington, D.C. 20231." Copies of all papers are attached.

1. Return Receipt Postcard
2. Check no. 134863 for \$180.00.
3. Transmittal Form and Fee Transmittal.
4. Response to January 30, 2002 Office Action w/ a copy of the Filing Receipt and previously submitted 1449 which has not yet been initialed.
5. Supplemental Information Disclosure Statement, PTO Form 1449 and cited reference.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statement may jeopardize the validity of the application or any patent issued therefrom.

Dated this 15<sup>th</sup> day of January, 2003, at Spokane, Washington..

  
Jane E. Borne

EV07~327446

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION SERIAL NO. .... 09/834,660  
 FILING DATE .... April 12, 2001  
 INVENTORSHIP .... Luan C. Tran  
 ASSIGNEE .... Micron Technology, Inc.  
 GROUP ART UNIT .... 2813  
 EXAMINER .... L. Schillinger  
 ATTORNEY'S DOCKET NO. .... MI22-1637  
 TITLE: Semiconductor Processing Methods Of Forming Transistors, Semiconductor Processing Methods Of  
 Forming Dynamic Random Access Memory Circuitry, And Related Integrated Circuitry

**EX POST DECLARATION OF EXPRESS MAILING**

I hereby declare that I have deposited the below-listed papers with the United States Postal Service "Express Mail Post Office to Addressee" service, addressed and posted as indicated below, in compliance with 37 CFR 1.10. The Express Mail label No. has been placed on one or more of the papers listed.

Express Mail Number: EV 077327446 USDate of Deposit: April 30, 2002Time of Deposit: 434

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**Listing Of Items Enclosed In Mailing:**

1. Return Receipt Postcard
2. A \$180.00 check
3. Transmittal w/certificate of mailing and Fee Transmittal.
4. Response to January 30, 2002 Office Action w/ a copy of the Filing Receipt and previously submitted 1449 which has not yet been initialed.
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Dated this 30th day of April, 2002, at Spokane, Washington.

Jane E Boone  
 JANE BOONE

FMP/rts



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04/30/02	1001 Commissioner of Patents & Trademarks MI22-1637 - Supplemental IDS Filing Fee (FF)			180.00		180.00

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**Wells St. John P.S.**  
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28-8/1251

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Date	Description	Invoice #	Amount	Disc	Net Amt
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MI22-1637  
Micron Technology, Inc.

April 30, 2002

The stamp of the U.S. Patent and Trademark Office acknowledges receipt of the following papers relating to the Patent application of Luan C. Tran, Serial No. 09/834,880, filed April 12, 2001, entitled "Semiconductor Processing Methods Of Forming Transistors, Semiconductor Processing Methods Of Forming Dynamic Random Access Memory Circuitry, And Related Integrated Circuitry."

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4. Response to January 30, 2002 Office Action w/ a copy of the Filing Receipt and previously submitted 1449 which has not yet been Initialed.
5. Supplemental Information Disclosure Statement, PTO Form 1449 and cited reference.

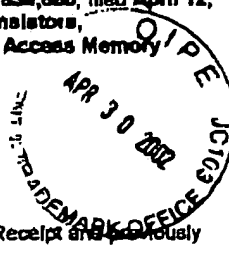
EV077327446

MI22-1637  
Micron Technology, Inc.

April 30, 2002

The stamp of the U.S. Patent and Trademark Office acknowledges receipt of the following papers relating to the Patent application of Luan C. Tran, Serial No. 09/834,880, filed April 12, 2001, entitled "Semiconductor Processing Methods Of Forming Transistors, Semiconductor Processing Methods Of Forming Dynamic Random Access Memory Circuitry, And Related Integrated Circuitry."

1. Return Receipt Postcard
2. A \$180.00 check
3. Transmittal w/certificate of mailing and Fee Transmittal.
4. Response to January 30, 2002 Office Action w/ a copy of the Filing Receipt and previously submitted 1449 which has not yet been Initialed.
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/834,880	04/12/2001	2813	1604	MI22-1637	2	43	9

CONFIRMATION NO. 6625

021567

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## FILING RECEIPT



\*OC000000006026001\*

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Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Luan C. Tran, Meridian, ID;

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A DIV OF 09/388,857 09/01/1999

## Foreign Applications

If Required, Foreign Filing License Granted 04/30/2001

Projected Publication Date: 08/09/2001

Non-Publication Request: No

Early Publication Request: No

## Title

Semiconductor processing methods of forming transistors, semiconductor processing methods of forming dynamic random access memory circuitry, and related integrated circuitry

## Preliminary Class